

R10 InfoPage

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Q&D - Office of Ecosystems, Tribal & Public Affairs - Aquatic Resource Unit

RECORD SERIES DESCRIPTION	DISPOSITION	NARA #
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Housekeeping Schedules	ETPA - ARU	Intuitive Folders
not included in this table	File Plan Spreadsheet	List
<p>309 REVIEW & COMMENT FILES:Contains documents used in review and coordination of EPA comments on projects that may impact on the environment.</p> <p>Item a(1)(a): 309 review comment file - Nonelectronic Includes official Agency comments made pursuant to Section 309 of the Clean Air Act regarding environmental impact statements (EISs), regulations, legislation and other major federal actions, associate reviewer comments, a copy of materials reviewed, and other associated materials.</p> <p>Item a(1)(b): 309 review comment file - Electronic Includes official Agency comments made pursuant to Section 309 of the Clean Air Act regarding environmental impact statements (EISs), regulations, legislation and other major federal actions, associate reviewer comments, a copy of materials reviewed, and other associated materials.</p> <p>Item a(1)(c): 309 review comment file - Electronic copy of records transferred to the National Archives Includes official Agency comments made pursuant to Section 309 of the Clean Air Act regarding environmental impact statements (EISs), regulations, legislation and other major federal actions, associate reviewer comments, a copy of materials reviewed, and other associated materials.</p> <p>Item a(2): 309 review report Includes computer-generated data summarizing official 309 reviews, Federal Register notices, and other associated materials.</p> <p>Item a(3): Summarized comments</p> <p>Function: 108-025-08 135</p>	<p>Item a(1)(a):Permanent Close inactive records upon completion of project review after final comment issuance. Transfer to the National Archives 20 years after file closure.</p> <p>Item a(1)(b):Permanent Close inactive records upon completion of project review after final comment issuance. Transfer to the National Archives 5 years after file closure, with any related documentation and external finding aids, as specified in 36 CFR 1235.44-1235.50 or standards applicable at the time.</p> <p>Item a(1)(c):Disposable Close file upon transfer to the National Archives. Delete after electronic record copy is successfully transferred to the National Archives.</p> <p>Item a(2):Disposable Close inactive records at end of reporting cycle. Destroy 15 years after file closure.</p> <p>Item a(3):Disposable Close file when comments are summarized. Destroy after file is closed.</p>	<p>N1-412-08-16</p> <p>Status: Final, 1/31/2011</p>
<p>CONFERENCES, SEMINARS, ASSOCIATIONS, AND SOCIETIES FILES: Includes records related to the participation or sponsorship of EPA staff in professional associations, societies, and related groups. Records consist of conference literature, trip reports, meeting agendas and arrangements, evaluations, copies of papers and other materials collected during participation, and other related records.</p> <p>Item a: Record copy</p>	<p>Item a:Disposable Close inactive records at end of calendar year. Destroy 2 years after file closure.</p>	<p>N1-412-06-6/7</p> <p>Status: Final, 02/01/2007</p>

<p>DOCUMENTS ISSUED BY SPECIFIC PROGRAMS AND REGIONS: Includes all records that document EPA's major policy decisions and program operational procedures originated within each program and regional office providing the mandates for overall and specific program direction and action. Records consist of official policy decisions, delegations of authority, memos that set policy or issue guidance, operating guidance, procedures manuals, other procedural materials, technical resource documents, regulatory interpretation and implementation documents, and mandates for action. These collections of materials may be in the form of a program directives system or a program compendium with finding aids and indexes.</p> <p>Item a(1): Published or released to the public and related background materials - Nonelectronic</p> <p>Item a(2): Published or released to the public and related background materials - Electronic</p> <p>Item a(3): Published or released to the public and related background materials - Electronic copy of records transferred to the National Archives</p> <p>Item b: Unpublished or not released to the public and related background materials</p> <p>Function: 306-112 007</p>	<p>Close inactive records upon issuance or publication or when superseded.</p> <p>Transfer to the National Archives in 5 year blocks, 20 years after file closure.</p> <p>Item a(2):Permanent Close inactive records upon issuance or publication or when superseded.</p> <p>Transfer to the National Archives 5 years after file closure, with any related documentation and external finding aids, as specified in 36 CFR 1235.44-1235.50 or standards applicable at the time.</p> <p>Item a(3):Disposable Close file upon transfer to the National Archives.</p> <p>Delete after electronic record copy is successfully transferred to the National Archives.</p> <p>Item b:Disposable Close inactive records upon decision to not publish or issue.</p> <p>Destroy 10 years after file closure.</p>	<p>Status: Final, 12/31/2010</p>
<p>ENFORCEMENT ACTION FILES: Includes all cases referred to Office of Regional Counsel or other offices with enforcement authority, for action against a pollution source or discharger. Includes correspondence, meeting documentation, inspections, field notebooks, evaluations, documentation of administrative actions including notices of violation, notices of deficiency, information requests, warning letters, administrative compliance orders, documentation of civil and criminal actions, corrective action orders, attorney work products, case summaries, pleadings, state and local enforcement records, settlement documents including consent decrees, discovery requests, and notices of intent to sue.</p> <p>Excludes: Superfund site-specific and oil spill site-specific enforcement actions scheduled as EPA 025 and EPA 480, respectively.</p> <p>Item a: Administrative case files, whether a formal enforcement action is initiated or not</p> <p>Item b: Judicial case files where routine legal actions are required</p> <p>Item c(1): Landmark or precedent cases - Nonelectronic Includes cases as designated by the Regional Administrator's designee.</p> <p>Item c(2): Landmark or precedent cases - Electronic Includes cases as designated by the Regional Administrator's designee.</p> <p>Item c(3): Landmark or precedent cases - Electronic copy of records transferred to the National Archives Includes cases as designated by the Regional Administrator's designee.</p> <p>Function: 108-025-08 207</p>	<p>Item a:Disposable Close inactive records upon settlement or closing of case.</p> <p>Destroy 10 years after file closure.</p> <p>Item b:Disposable Close inactive records upon settlement or closing of case.</p> <p>Destroy 20 years after file closure.</p> <p>Item c(1): Permanent Close inactive records upon settlement or closing of case.</p> <p>Transfer to the National Archives in 5 year blocks 20 years after file closure. If record is microform, destroy paper after quality assurance is completed.</p> <p>Item c(2): Permanent Close inactive records upon settlement or closing of case.</p> <p>Transfer to the National Archives 5 years after file closure, with any related documentation and external finding aids, as specified in 36 CFR 1235.44-1235.50 or standards applicable at the time.</p> <p>Item c(3): Disposable Close file upon transfer to the National Archives.</p> <p>Delete after electronic record copy is successfully transferred to the National Archives.</p>	<p>N1-412-07-2/9</p> <p>Status: Final, 12/31/2012</p>
<p>FINAL DELIVERABLES AND REPORTS: Consists of final draft and final deliverables, products, and</p>	<p>Item a(1):Permanent</p>	<p>N1-412-06-27</p>

<p>reports resulting from special studies and surveys completed within the Agency.</p> <p>Item a(1): Environmental programs, except Superfund site-specific - Nonelectronic Item a(2): Environmental programs, except Superfund site-specific - Electronic Item a(3): Environmental programs, except Superfund site-specific - Electronic copy of records transferred to the National Archives Item b: Superfund site-specific Item c: Non-environmental programs</p> <p>Function: 305-109-01 258</p>	<p>years after file closure.</p> <p>Item a(2):Permanent Close inactive records upon completion of project. Transfer to the National Archives 5 years after file closure, with any related documentation and external finding aids, as specified in 36 CFR 1235.44-1235.50 or standards applicable at the time.</p> <p>Item a(3):Disposable Close file upon transfer to the National Archives. Delete after electronic record copy is successfully transferred to the National Archives.</p> <p>Item b:Disposable Close inactive records upon completion of project. Destroy 30 years after file closure.</p> <p>Item c:Disposable Close inactive records upon completion of project. Destroy 7 years after file closure.</p>	<p>N1-412-07-34</p> <p>Status: Final, 7/31/2010</p>
<p>GRANTS & OTHER PROGRAM SUPPORT AGREEMENTS: Includes records that document all types of agreements with other federal, state, or local government agencies, universities, non-profit organizations, Tribes, and other institutions to which EPA is a party, and that support EPA's environmental programs (other than Superfund site-specific, and waste water construction and state revolving fund grants). Specific types of agreements include assistance agreements, grants, cooperative agreements, interagency agreements, agreements for "guest" workers, and other types of program support agreements administered by headquarters or EPA regions and that provide for research, demonstration projects, training, fellowships, investigation, surveys, studies, or other types of program support activities.</p> <p>Also includes supporting documentation. Specific types of records include, but are not limited to, documentation of significant actions and decisions relating to and supporting the award of agreements, documentation of actions and decisions relating to the competition of agreements, announcements and solicitations of funding opportunities, justifications, requests and justifications for the non-competitive award of agreements, cost estimates, scopes of work, correspondence, applications, pre-award reviews, funding decisions, award documentation, documentation relating to the evaluation of proposals and applications, conflict of interest documentation, transmittal correspondence, agreements, agreement oversight activities, non-compliance documentation, dispute documentation, audit records, closeout documentation for completed agreements; and reports and evaluations resulting from agreements.</p> <p>Excludes: Final products and deliverables (EPA</p>	<p>Item a:Disposable Close inactive records immediately after closeout of the agreement. Destroy 10 years after file closure.</p>	

232).	<p>Item a: Record copy</p> <p>Function: 205 003</p>	
<p>NATIONAL ENVIRONMENTAL POLICY ACT (NEPA) PREPARATION FILES: Contains information related to the in-house preparation of environmental impact statements by EPA staff and consultants.</p> <p>Item a(1): Environmental impact statements (EISs) Includes drafts, final, and any official supplemental EISs, record of decision, official reference material such as notices of intent and availability in the Federal Register, comments on EIS documents made by interested parties, special studies or supplemental material related to the EIS.</p> <p>Item a(2): Environmental assessments (EAs) Includes EA, Federal Register notices, findings of no significant impact (FONSI), any comments made by interested parties, special studies or supplemental material related to the EA.</p> <p>Item a(3): Categorical exclusions (CEs) Includes CE, any documents related to the distribution of the CE, special studies or supplemental material related to the CE.</p> <p>Function: 108-025-08 134</p>	<p>Item a(1): Permanent Close inactive records upon preparation of record of decision or if project is withdrawn, upon official notification from the preparing office.</p> <p>Transfer nonelectronic records to the National Archives 14 years after file closure.</p> <p>Transfer electronic records to the National Archives 5 years after file closure, with any related documentation and external finding aids, as specified in 36 CFR 1228.270 or standards applicable at the time. Delete EPA reference copy 14 years after file closure.</p> <p>Item a(2): Permanent Close inactive records upon completion of EA.</p> <p>Transfer nonelectronic records to the National Archives 14 years after file closure.</p> <p>Transfer electronic records to the National Archives 5 years after file closure, with any related documentation and external finding aids, as specified in 36 CFR 1228.270 or standards applicable at the time. Delete EPA reference copy 14 years after file closure.</p> <p>Item a(3): Permanent Close inactive records upon completion of CE.</p> <p>Transfer nonelectronic records to the National Archives 14 years after file closure.</p> <p>Transfer electronic records to the National Archives 5 years after file closure, with any related documentation and external finding aids, as specified in 36 CFR 1228.270 or standards applicable at the time. Delete EPA reference copy 14 years after file closure.</p>	<p>N1-412-07-2/4</p> <p>Status: Final, 06/30/2007</p> <p>This schedule authorizes the disposition of the record copy in any media (media neutral).</p>
<p>PERMIT FILES: Contains records used in the issuance or denial of a permit issued by EPA offices or authorized states, federal facilities, interstate or local agencies. Includes draft and final permits; major and minor permits; permit modifications; general, special, emergency, research, interim permits, and others. Consists of the notification form, permit applications, background and supporting documentation, public notices, comments and records of public meetings, fact sheets, exception reports, appeals, delistings, correspondence, financial assurance documents, and other related records.</p> <p>Excludes: Resource Conservation and Recovery Act (RCRA) program permits scheduled as EPA 478.</p>	<p>Item a(1):Permanent</p> <ul style="list-style-type: none">• Close inactive records when a well has been properly plugged, abandoned and terminated per EPA requirements; or when a permit application has been denied or withdrawn; or when a determination has been made that a permit is not required or if the permit has been issued and not acted upon by the company within one year.• Transfer to the National Archives 30 years after file closure. <p>Item a(2):Permanent</p> <ul style="list-style-type: none">• Close inactive records when a well has been properly plugged, abandoned and terminated per EPA requirements; or when a permit application has been	<p>N1-412-08-6</p> <p>Status: Final, 12/31/2012</p>

<p>Includes underground injection control (UIC), when EPA is the permitting authority and UIC exemptions.</p> <p>Item a(2): UIC, when EPA is the permitting authority and UIC exemptions - Electronic Includes underground injection control (UIC), when EPA is the permitting authority and UIC exemptions.</p> <p>Item a(3): UIC, when EPA is the permitting authority and UIC exemptions - Electronic copy of records transferred to the National Archives. Includes underground injection control (UIC), when EPA is the permitting authority and UIC exemptions.</p> <p>Item b: NPDES minor permits Includes national pollutant discharge elimination system (NPDES) minor permits</p> <p>Item c: All others, excluding those covered in items a, b and d Includes: UIC (except when EPA is permitting authority and UIC exemptions); NPDES (except minors); pretreatment; sewage treatment; ocean dumping; new source review (NSR) (Including prevention of significant deterioration (PSD)), nonattainment NSR, and minor NSR); and Toxic Substances Control Act (TSCA) polychlorinated biphenyls (PCB) disposal.</p> <p>Item d: Dredging and fill</p> <p>Function: 204-079 205</p>	<p>has been issued and not acted upon by the company within one year.</p> <ul style="list-style-type: none"> • Transfer to the National Archives 5 years after file closure, with any related documentation and external finding aids, as specified in 36 CFR 1235.44-1235.50 or standards applicable at the time. <p>Item a(3):Disposable</p> <ul style="list-style-type: none"> • Close file upon transfer to the National Archives. • Delete after electronic record copy is successfully transferred to the National Archives. <p>Item b:Disposable</p> <ul style="list-style-type: none"> • Close inactive records when no longer needed. • Destroy 10 years after file closure. <p>Item c:Disposable</p> <ul style="list-style-type: none"> • Close inactive records at permit renewal or termination (revocation or expiration) or at end of calendar year. • Destroy 10 years after file closure. <p>Item d:Disposable</p> <ul style="list-style-type: none"> • Close inactive records at permit renewal or termination (revocation or expiration) or at end of calendar year. • Destroy 5 years after file closure. 	
<p>REMEDIAL SITE FILES - SUPERFUND SITE SPECIFIC:</p> <p>Consists of site-specific records relating to activities conducted at remedial sites by EPA and non-EPA lead entities (e.g., PRP, state, federal facilities, other). Includes:</p> <p>Pre-record of decision (ROD) records - Examples of specific documents include correspondence and memoranda, quality assurance project plans (QAPPs), endangerment assessment, risk assessment, health and safety plans, potentially responsible party (PRP) searches and investigations, projects operations plans (POPs), remedial investigation (RI) reports, feasibility study (FS) reports, proposed plans for selected remedial action, and applicable or relevant and appropriate requirements (ARARs), congressional inquiries, community relations plans and other site-specific public awareness records. Also includes a headquarters pre-ROD review package, including site-specific review requirement and review.</p> <p>Post-ROD records - Examples of specific documents include correspondence and memoranda, the ROD, state concurrence letters, ROD delegation documents, responsiveness summaries, work assignments, progress reports, and other documents related to the remedial design and remedial action phases.</p> <p>Operation and Maintenance (O and M) records - Examples of specific documents related to long-term treatment measures</p>	<p>Item a(1):Permanent Close inactive records at issuance of ROD for the site or operable unit and appropriate milestones thereafter.</p> <p>Transfer to the National Archives 30 years after file closure.</p> <p>Item a(2):Permanent Close inactive records at issuance of ROD for the site or operable unit and appropriate milestones thereafter.</p> <p>Transfer to the National Archives 5 years after file closure, with any related documentation and external finding aids, in a format as specified in 36 CFR 1235.44-1235.50 or standards applicable at the time.</p> <p>Item a(3):Disposable Close file upon transfer to the National Archives.</p> <p>Delete after electronic record copy is successfully transferred to the National Archives.</p>	<p>N1-412-06-14</p> <p>Status: Final, 12/31/2010</p>

<p>monitoring agreements, sampling and analysis data, inspection reports, construction completion documentation packages, site close out, and NPL deletion packages.</p> <p>Item a(1): Record copy - Nonelectronic Item a(2): Record copy - Electronic Item a(3): Electronic copy of records transferred to the National Archives</p> <p>Function: 108-024-01-02 014</p>		
<p>SPECIAL STUDIES: Contains supporting files relating to the development of special studies and surveys produced in house by individuals, committees or task forces. Examples of such studies include topics such as environmental levels of toxic substances, coastal zone management, or economic benefits and impacts of pesticides. Excludes: Final studies and surveys scheduled as EPA 258 and management studies scheduled as EPA 105.</p> <p>Item a: Record copy</p> <p>Function: 108 005</p>	<p>Item a: Disposable Close upon completion of study. Destroy 7 years after file closure.</p>	<p>N1-412-07-1/1</p> <p>Status: Final, 7/31/2010</p>
<p>TRAINING MATERIAL: Contains records used by Agency personnel in planning, preparing, writing, arranging, and conducting training programs for EPA and non-EPA employees, including state and other federal agency personnel. Records consist of working files generated during training development phase, training workgroup meeting notes, correspondence, training participation surveys and rosters, instructional materials, manuals, and other training aids.</p> <p>Excludes: Records for training administered by the Personnel program scheduled as EPA 571.</p> <p>Item a: Routine training materials. Includes training course plans and materials used for personnel and management training unrelated to the environmental missions of the Agency.</p> <p>Item c(1): Mission-related training materials Nonelectronic. Includes training course plans and materials used for training in functions or activities related to the environmental goals of the Agency and its programs.</p> <p>Item c(2): Mission-related training materials - Electronic. Includes training course plans and materials used for training in functions or activities related to the environmental goals of the Agency and its programs.</p> <p>Item c(3): Mission-related training materials - Electronic copy of records transferred to the National Archives. Includes training course plans and materials used for training in functions or activities related to the environmental goals of the Agency and its programs.</p> <p>Function: 305-109-02-04 200</p>	<p>Item a: Disposable Close inactive records after course or material is superseded. Destroy 5 years after file closure.</p> <p>Item c(1): Permanent Close inactive records after course or material is superseded. Transfer to the National Archives in 5 year blocks 20 years after file closure.</p> <p>Item c(2): Permanent Close inactive records after course or material is superseded. Transfer to the National Archives 5 years after file closure, with any related documentation and external finding aids, as specified in 36 CFR 1235.44-1235.50 or standards applicable at the time.</p> <p>Item c(3): Disposable Close file upon transfer to the National Archives. Delete after electronic record copy is successfully transferred to the National Archives.</p>	<p>N1-412-06-11</p> <p>Status: Final, 04/30/2012</p>
	Item a: Disposable	

<p>proposals, correspondence, and other records and documentation related to unsuccessful (e.g., rejected, withdrawn, not selected for award under a competition) applications for grants and unsolicited proposals for grants that are not accepted for award. This includes documentation relating to the evaluation of the unsuccessful application or unsolicited proposal for award.</p> <p>Item a: Record copy</p> <p>Function: 205 274</p>	<p>closure.</p>	<p>Status: Final, 02/14/2007</p>
<p>WATER QUALITY PLANNING AND MANAGEMENT FILES: Contains documents relating to water quality planning, management and implementation undertaken by EPA, states, interstate, regional and local agencies. Also includes documents dealing with nonpoint source implementation projects and information on projects such as reservoirs, and nuclear power plants which may affect water quality. Includes water quality management plans, water quality reports, TMDLs (Total Maximum Daily Loads), load allocation working papers, water quality models, correspondence and other related documents.</p> <p>Item a(1): Final plans and annual and biennial reports – Nonelectronic Excludes: State 305(b) water quality reports submitted to Congress by the Headquarters Office of Water covered by EPA 429.</p> <p>Item a(2): Final plans and annual and biennial reports – Electronic Excludes: State 305(b) water quality reports submitted to Congress by the Headquarters Office of Water covered by EPA 429.</p> <p>Item a(3): Final plans and annual and biennial reports - Electronic copy of records transferred to the National Archives Excludes: State 305(b) water quality reports submitted to Congress by the Headquarters Office of Water covered by EPA 429.</p> <p>Item b: Supporting files</p> <p>Function: 108-025-02 213</p>	<p>Item a(1): Permanent Close inactive records at end of year. Transfer to the National Archives 10 years after file closure.</p> <p>Item a(2): Permanent Close inactive records at end of year. Transfer to the National Archives 5 years after file closure, with any related documentation and external finding aids, as specified in 36 CFR 1235.44-1235.50 or standards applicable at the time.</p> <p>Item a(3): Disposable Close file upon transfer to the National Archives. Delete after electronic record copy is successfully transferred to the National Archives.</p> <p>Item b: Disposable Close inactive records at end of year. Destroy 10 years after file closure.</p>	<p>N1-412-08-7/2</p> <p>Status: Final, 2/28/2011</p>
<p>EPA NON-RECORDS: Consists of nonrecord copies. Nonrecord materials are those Agency-owned informational materials that do not meet the statutory definition of records in 44 U.S.C. Section 3301 or that have been excluded from coverage by that definition. Examples of Non-Records: Technical Reference Materials, News Clippings, Convenience Copies, Stocks of Forms, Publications, and Processed Documents, Materials Not Appropriate for Preservation, Library or Museum Materials, Working Papers and Drafts.</p> <p>Function: 0 008</p>	<p>Item a: Disposable Close when obsolete, superseded or no longer needed for reference. Destroy immediately after file closure.</p>	<p>NOT APPLICABLE</p> <p>Status: Final, 02/12/2007</p>

